

## SECTION 10 PS&E SUBMITTAL REQUIREMENTS

### 10.1 PURPOSE

This section describes the requirements for project submittals to DES-OE (WBS Milestone 380) including AAOE and AADD projects. Informal bids project submittal requirements are described in Section 12, "Informal Bids Projects."

### 10.2 RESPONSIBILITIES

#### 10.2.1 DOE

The DOE is responsible for transmitting PS&E submittal information to DES-OE. This is required because PS&Es are submitted electronically using tools available only to the District Office Engineer.

#### 10.2.2 SOE

The SOE is responsible for transmitting structures plans, specifications, estimate and other structure documents to the DOE for District incorporation.

### 10.3 PS&E SUBMITTALS

DOE sends PS&E submittals to DES-OE and other involved addressees specified on the PS&E Distribution list attached to the PS&E Submittal Memorandum in the "Submittal" and "AADD" databases.

#### 10.3.1 PS&E SUBMITTALS TO DES-OE

Districts will be credited with a "Complete PS&E" Date (MS 380) when DES-OE receives the minimum applicable electronic submittals, as described in Table 10-1. The district is responsible for submitting the combined roadway and structure PS&E to DES-OE.

PS&E Submittals are to be sent as follows:

1. DOE transmits the PS&E Submittal documents from the DOE computer to the PS&E Drop Box.
2. DOE sends a notification of the initial PS&E Submittal to the e-mail address: "DES-OE Submittals" with a cc to the DES-OE Area Senior Engineer or Specialty Area Senior Engineer. Do not attach the submittal documents to this notification e-mail unless directed by DES-OE staff.
3. DOE sends an electronic copy of the remaining applicable PS&E Submittal items using the e-mail address "DES-OE Submittals."

The PS&E Submittal documents required for AADD and AAOE are listed in the following Table:

**Table 10-1**  
**Requirements for PS&E Submittal to DES-OE**

Applicable PS&E Submittal Items	Acceptable Submittal Format (3)	Minimum Applicable Submittals (1)	
		AAOE	AADD (2)
Signed PS&E Submittal Memorandum	PDF	Yes	
Signed draft RTL Certification	PDF	Yes	
Electronically Submitted PS&E Submittal Memorandum and RTL Certification information	FMP	Yes	Yes
District and Structure PS&E CADD Submittal Forms and Plan Review Checklists	PDF	Yes	
PS&E CADD Submittal Form (TIFF files)	PDF		Yes
Special Provisions	MSW	Yes	Yes
Combined Roadway and Structure BEES File	PDF or B	Yes (PDF)	Yes (B)
PE's Certification Letter of Utility Facilities for High/Low Risk with Seal and Signature	PDF	Yes	
Funding Package (all projects except 100% HM funded projects)	PDF	Yes	
Budget Verification Of Highway Maintenance Funds (only for 100% HM funded projects)	PDF	Yes	
Storm Water Data Report Cover Sheet	PDF	Yes	
Special Provisions Signature and Seal Sheets	PDF		Yes
Signed Authority to Advertise	PDF		Yes
<b>Notes:</b> (1) "Yes" means submittal is required for District to be credited with a PS&E Delivery Date (WBS Milestone 380). (2) Hard copies of all applicable PS&E submittal items shall be included in the Job Files for AADD projects. (3) Submittal Format: MSW=Microsoft Word 2000, FMP=FileMaker Pro, PDF= Portable Document Format, B=BEES			

### 10.3.2 PS&E SUBMITTALS FROM DOE TO OTHER DIVISIONS

For projects with federal funds, the district must transmit the draft E-76 to Division of Budgets, Federal Resources Office at the same time the PS&E Package is submitted to HQ. DOE must send PS&E Submittal information to other involved addressees specified on the PS&E Distribution list in the PS&E Submittal Memorandum as part of the funding process. Failure to comply will result in delays in project funding and advertisement. DOE submits PS&E packages or portions of PS&E packages directly to those involved at the same time the initial DOE Electronic Submittal to DES-OE is made. See the listing of Divisions at the end of the PS&E Submittal Cover Memorandum in Appendix B.

For AADD projects, DOEs must transmit all the required submittals to other Divisions prior to the project being funded and submitted to DES-OE.

## 10.4 REGISTERED ENGINEER'S SIGNATURE AND SEAL SHEET

These sheets, as shown in Appendix B, "Forms and Miscellaneous Information," have four elements:

1. Contract number.
2. Design Oversight Approval. This block is to be used when the project, or any portion of the project specifications, has been developed by a consultant or local agency. The block must bear the printed name, signature, professional registration number and approval date of the licensed person providing design oversight for the entire project.
3. The statement "The Special Provisions contained herein have been prepared by or under the direction of the following Registered Persons."
4. Space for signatures and seals for each professional discipline involved in the project. The signature and seal lines must bear the signature, registration seal, license number, and license expiration date of the licensed person knowledgeable about and in responsible charge of the specific work for each professional discipline involved in the project. Professional disciplines may be:
  - Highway
  - Traffic
  - Landscape Architecture
  - Electrical (highway)
  - Electrical (structure)
  - Structure
  - Mechanical
  - Architectural

If SOE prepares a portion of a project's special provisions, they shall submit a completed signature and seal sheet to the district with their proposed final project special provisions. The DOE will combine the project special provisions and submit both the DES-SD and district signature and seal sheets to DES-OE.

## 10.5 AADD PROJECTS - ADDITIONAL INSTRUCTIONS

### 10.5.1 AUTHORITY TO ADVERTISE

District or Regional Director shall sign this form and the DOE shall submit the completed form to DES-OE.

### **10.5.2 PROJECT PLANS**

The district shall submit combined roadway and structure project plans in TIFF format using a PS&E CADD Submittal Form. The district shall number the plans, include any Revised Standard Plans (RSPs) and New Standard Plans (NSPs) and complete the title block and plans approval date information and federal aid number, if applicable.

### **10.5.3 SPECIAL PROVISIONS**

District shall submit special provisions in conformance with Section 6, "Specification Preparation." Non-standard boilerplate clauses (e.g., S4-003) shall be submitted as separate Microsoft Word files in the PS&E submittal.

### **10.5.4 ENGINEER'S ESTIMATE**

District shall have the Combined Estimate with phase 1 EA in the BEES.

### **10.5.5 INFORMATION HANDOUT**

The district shall "overnight" mail the Information Handout with cover sheet within 24 hours of PS&E submittal to DES-Office Engineer, Attn: Nina Kwok, MS #43, 1727 30th Street, Sacramento, CA 95816-7005. The Information Handout shall be a legible hard copy or CD.

### **10.5.6 JOB FILE**

The district shall "overnight" mail the Job File within 24 hours of PS&E submittal to DES-Office Engineer, Attn: Renee Smith, MS #43, 1727 30th Street, Sacramento, CA 95816-7005. The Job File shall be bound by a two-hole fastener and shall contain the documents in Table 10-1.

## **10.6 AAOE PROJECTS-ADDITIONAL INSTRUCTIONS**

### **10.6.1 PROJECT PLANS**

The district submits the roadway plan files to DES-OE using the CADD Submittal Form and Plan Review Checklist. If the project has structure plans, the district submits the structure plan files using the Structure PS&E CADD Submittal Form and Plan Review Checklist.

### **10.6.2 REGISTERED ENGINEER'S SIGNATURE AND SEAL SHEET**

The district shall submit Signature and Seal sheets for the special provisions before the project achieves the DR milestone.

### **10.6.3 PS&E SUBMITTAL MEMORANDUM**

The district shall submit a PS&E Submittal Memorandum with the PS&E submittal package to DES-OE.

#### **10.6.4 SPECIAL PROVISIONS**

District shall submit special provisions in conformance with Section 6, "Specification Preparation." Non-standard boilerplate clauses (e.g., S4-003) shall be submitted as separate Microsoft Word files in the PS&E submittal.

### **10.7 PS&E SUBMITTAL MEMORANDUM**

The PS&E Submittal Memorandum (Cover Memo) transmits the PS&E Submittal Packages to DES-OE, other HQ divisions and FHWA. The Memo is to be signed by the District/Regional Office Engineer and the Project Manager.

The PS&E Submittal Memo (See Appendix E) is a layout in the submittal database and shall be obtained from the DOE. The PS&E Submittal Memo parts are:

#### **10.7.1 PRIORITY**

Indicate if submittal is a safety or informal project. DES-OE processes informal and safety (Program 201.010) projects as top priorities. (Informal projects shall not be processed as AADD).

#### **10.7.2 SERVICE LEVEL**

Select AADD or AAOE.

#### **10.7.3 PROJECT INFORMATION**

##### **Identification**

Information required for project processing, advertisement, award, funding, federal fund participation, etc. The information is taken from the program documents, etc.

##### **Project Location Description (Project Plans for: )**

Same as the project location description on the title sheet.

##### **Work Description**

List types of work in general terms using a maximum of 70 characters.

##### **Approval**

This is the expenditure authorization from the Project Report and the Project Approval/Environmental Document (PA/ED) date that authorized this report.

##### **Personnel**

List the names of the personnel involved in the preparation of the PS&E. The information is needed for communication purposes. The responsible District is the one performing the District Office Engineer function.

### 10.7.3 PERFORMANCE INDICATORS

These are data to be collected for the Department's evaluation, information, dissemination, reporting purposes, etc.

#### **Non-Standard Special Provisions (NSSPs)**

Complete the table listing NSSPs. HQ owner approval of Non-Standard Special Provisions is a condition of the RTL Certification. See 6.9 for processing procedures.

#### **Permits**

Complete the table listing permits that control the execution of the contract, including environmental permits. See 10.8.1 for a list of common permits.

Although copies of the permits are part of the Project Information (items included in SSP S5-280), the permits should also be listed in the PS&E Submittal Memorandum. Limit permit descriptions to a maximum of 60 characters per line.

#### **Design - Resident Engineer (RE) Pending File**

Indicate the actual or target date of pending file submittal to the Construction RE.

#### **Design - Salvageable Materials**

List the salvageable materials used for the project, if any.

#### **Design - Landscape**

##### **Compost**

Indicate the volume of compost used with Erosion Control applications and planting operations. Includes soil amendment, green material (compost and bark mulch) used for compost blanket or incorporated compost.

##### **Highway Planting**

Indicate the area of planting and irrigation work required due to new road construction or planting as a mitigation requirement.

##### **Mulch**

Indicate the volume of mulch used from wood chips, or bark.

Indicate the area of inert materials used as ground cover.

##### **Recycled Water**

Indicate if the project will use recycled water. Indicate the estimated annual recycled water use for the project.

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### **Wildflower Seeding**

Indicate the area of Wildflower Seeding. **Do not** include any wildflowers included in Erosion Control applications. If no seeding is applied on this project and it is required, indicate the value of wildflower seeding to be tracked for a future project. The value is calculated as .25 of 1% of the total value of planting and irrigation.

### **Worker Safety**

Indicate the number of gates, area and quantity of maintenance access roads, area of paving and number maintenance vehicle pullouts.

## **10.7.4 FUNDING**

### **Program**

Check applicable funding source(s).

### **Program Code (TRAMS)**

The code as shown in:

[http://onramp.dot.ca.gov/hq/accounting/Coding\\_Manual1/Tables/ch07\\_2\\_20.htm](http://onramp.dot.ca.gov/hq/accounting/Coding_Manual1/Tables/ch07_2_20.htm)

### **Budget Year**

The year the project's construction fund is budgeted for.

### **CMAQ**

Indicate whether the project is eligible or not. If so, provide an emission reduction study to the Division of Budgets, Office of Federal Resources.

### **Federal Funding**

Indicate why the project is not eligible for federal funding.

## **10.7.5 FEDERAL PARTICIPATION**

### **Oversight Determination**

Indicate whether the project is Delegated or High Profile regarding FHWA review and oversight. If High Profile, the name of the FHWA Engineer and the date the High Profile Project Agreement with FHWA was executed is to be shown. See Appendix B and/or PDPM Chapter 2, Section 7, Figure 2, for determination of FHWA oversight. Contact the appropriate FHWA Engineer to confirm the determination.

### **For Federal Aid Projects**

List the structure name, number, type, begin and end stations. This information is to be provided by SOE.

## **10.7.6 PS&E INFORMATION**

### **Plans**

Indicate what version of Standard Plans was used to prepare the project plans. Indicate the number of roadway, structure, and total plan sheets.

### **Specifications**

Indicate what version of the Standard Specifications or General Conditions was used to prepare the special provisions.

### **Bidder Inquiries**

Indicate whether bidder inquiry will be submitted using the "Bidder Inquiry" form. If so, provide the Duty Senior FACSIMILE number.

### **Prosecution of Work**

#### **Construction Working Days**

The number of working days provided to finish the work excluding the plant establishment period. See 6.4.1 for points to consider when determining the number of working days.

#### **Plant Establishment Working Days**

The number of working days provided to establish plants and maintain irrigation systems. Type 1 plant establishment begins when all construction work ends. Type 2 plant establishment begins whenever the Resident Engineer indicates a begin date to the Contractor.

#### **Total Working Days**

The total sum of the construction and plant establishment (if applicable) working days.

#### **Liquidated Damages**

The expense to the State due to the Contractor's failure to complete the contract within the specified time. See "Liquidated Damages" in 6.10 for the formula to calculate liquidated damages.

### **Special Features**

#### **Design Sequencing**

This is a method of contracting where design activities are sequenced in a manner that allows award of the contract before completion of design for the entire project. It is a pilot program under Assembly Bill 405 Assembly Bill 2607, and Senate Bill 1210 that allowed the Department to use Design Sequencing on up to 24 projects. Provide a copy of the approval with the project submittal if the project is not included in the program and uses the design sequencing concept.



### **Escrow**

Allowed to be used on design sequencing projects. Provide a copy of the approval with the project submittal if the project uses this requirement.

### **Incentive/Disincentive (I/D)**

I/D are bonuses and deductions used for meeting internal time constraints and encouraging early contract completion. I/D may be used in conjunction with A+B Bidding.

### **Informal**

The informal bids process may be used on emergency projects to reduce PS&E processing, advertising, and award time. If federally funded, an approved PIF is also required.

### **Partnering**

Projects with estimated cost of \$1,000,000 or more as required by SSP.

### **Pre-Award Qualifications**

Allowed to be used on design sequencing projects. Provide a copy of the approval with the project submittal if the project uses this requirement. See the memorandum, "Pre-Bid and Pre-Award Qualifications Provisions," from Robert Buckley dated March 22, 2002 in regard to the approval requirement for use on other projects utilizing this requirement.

### **Tribal Employment Rights Ordinances (TERO)**

Required for projects with limits in particular tribal lands. District will provide the revisions to Sections 1, 2, 3 and 5. See Deputy Directive, DD-74R, "Tribal Employment Rights Ordinances" (TERO) for other requirements.

### **Time Related Overhead (TRO)**

Include a TRO item on all projects with a cost estimate of \$5 million or more.

### **Value Analysis**

Required for all projects on the National Highway System or Interstate with a total project cost (right of way, construction, and support) of \$25 million or more regardless of whether Caltrans employees, local agencies, consultants, or others are accomplishing and/or funding the work. In addition, a VA study will be performed on all bridge projects with a total project cost of \$20 million or more. Provide a copy of the approval with the project submittal if the project deviates from the requirement.

### **Warranty**

Used when a project has been approved for the warranty pilot program.

### **Estimate**

Indicate the road construction cost, structures cost, total cost, number of contract items, BEES keyword, estimate date and call out number. See: [http://pd.dot.ca.gov/des/documents/decisiondocs/call\\_out\\_number.pdf](http://pd.dot.ca.gov/des/documents/decisiondocs/call_out_number.pdf) for information on how to round the contract items subtotal for use as the call out number.

### **Construction Window**

Describe conditions that impact the beginning of work. This information controls fund allocation, Advertisement and Bid Opening dates. These conditions could be permit requirements, temperature for AC or seal coat placement, public events, coordination with other projects, etc. Indicate the description, location and dates work cannot be performed. Provide recommended begin construction date.

### **PS&E Distribution List**

Indicate and provide the applicable document to Divisions that are identified.

## **10.8 INFORMATION HANDOUT**

The Information Handout contains information that specifies restrictions and operational requirements on the contract work and provides additional information necessary for prospective bidders to bid the work.

The following are examples of information should be included in the information handout, as appropriate for the project:

- Permits and Agreements
- Biological Opinions
- Foundation recommendation reports
- Hazardous waste, asbestos or lead investigation reports. This includes existing structures.
- Materials Information
- Geotechnical design reports
- Water source information
- Optional disposal sites

All information for the project that is to be provided in the Information Handout to prospective bidders is listed in SSP S5-280, "Supplemental Project Information." See Appendix B, "Forms and Miscellaneous Information" for an example of Information Handout Cover.

The materials to be included in the information handout specify restrictions and requirements or provide additional information necessary for contractors to bid the work. Only 8½" X 11", single sided, black and white handouts may be included. Handouts are to be limited to approximately 100 sheets total or a maximum of 1 inch thick. Otherwise, handouts should be made available in the district or provided on CD.

DES-OE will reproduce the information handout and provide copies to prospective bidders upon request in the same manner that it furnishes plans and other contract documents. Documents to be included in the Information Handout include:

#### **10.8.1 PERMITS AND AGREEMENTS**

Following are examples of permits that may be required:

- Department of Fish and Game. See the Contract Requirements, Section 1601 of the California Fish and Game Code.
- California Regional Water Quality Control Board.
- United States Army Corps of Engineers.
- Coastal Commission.
- United States Coast Guard.
- State Lands Commission.
- Reclamation Boards.
- Water Districts.
- San Francisco Bay Conservation and Development Commission.
- Tahoe Regional Planning Agency.
- Transit Districts.
- United States Forest Service.
- United States Fish and Wildlife Protection Agency. See Fish and Game Code, Division 3, Chapter 1.5, Article 4.
- Tribal Employment Rights Ordinances.
- Encroachment permits from public agencies.

#### **10.8.2 FOUNDATION RECOMMENDATION REPORTS**

Foundation recommendations, foundation review forms, pile indicator reports, driveability studies, and other pertinent structure foundation related materials must be submitted to DES-OE for inclusion in the information handout. See the memo, "Foundation Data as Materials Information," from James E. Roberts dated November 16, 1994:

[http://www.dot.ca.gov/hq/esc/oe/specifications/rtl\\_guide/policy/](http://www.dot.ca.gov/hq/esc/oe/specifications/rtl_guide/policy/) .

### **10.8.3 HAZARDOUS WASTE, ASBESTOS OR LEAD INVESTIGATION REPORTS**

These reports are required by Federal and State regulations, State laws and Department policy. See Project Development Procedures Manual (PDPM), Chapter 18, "Environmental Contamination." A Hazardous Material Survey Report is required for all projects involving work on an existing building.

[http://www.dot.ca.gov/hq/oppd/pdpm/chap\\_pdf/chapt18.pdf](http://www.dot.ca.gov/hq/oppd/pdpm/chap_pdf/chapt18.pdf)

### **10.8.4 MATERIALS INFORMATION**

All test data applicable to material sites for a project should be furnished to prospective bidders. This information may include maps, test reports, tabulation sheets, SMARA status, copies of options or agreements with owners of the material sites and other information as specified in the Highway Design Manual.

### **10.8.5 GEOTECHNICAL DESIGN REPORTS**

A Geotechnical Design Report (GDR) is to be prepared by the Roadway Geotechnical Engineering Branches of the Division of Engineering Services, Geotechnical Services (DES-GS) (or prepared by a consultant with technical oversight by DES-GS) for all projects that involve designs for cut slopes, embankments, earthwork, landslide remediation, retaining walls, groundwater studies, erosion control features, subexcavation and any other studies **Z**

### **10.8.6 WATER SOURCE INFORMATION**

If a project will require significant amounts of water and is in an area under drought conditions or subject to water shortages, a water source information handout is to be provided to help prospective bidders locate possible water sources. Submit to DES-OE reproducible copies of correspondence and other documentation for all arrangements, whether formal or informal, that have been made to secure water needed for the project.

#### **10.8.7 OPTIONAL DISPOSAL SITES**

Sites for disposing residue from grinding or grooving the surface of AC or PCC pavement and bridge decks must be submitted to DES-OE for inclusion in the information handout. For more information see Design Information Bulletin Number 84 on the Division of Design website. Generally, the information should include:

- Cover page with project information.
- Index of accompanying information.
- Maps of Sites.
- Copies of agreements with owners (if applicable).
- Copies of use permits and clearances or MOUs (when they have been obtained by the State).

#### **10.9 RTL CERTIFICATION**

See 1.3 for RTL Certification requirements and instructions.